

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
Serguei Endrikhovski, et al.

METHOD FOR USING FACIAL
EXPRESSION TO DETERMINE
AFFECTIVE INFORMATION IN
AN IMAGING SYSTEM

Serial No. To be assigned

Filed herewith

Group Art Unit not yet assigned
Examiner not yet assigned

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11046 U.S. PTO
10/079284



Commissioner for Patents
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT FOR CONSIDERATION
BY THE OFFICE UNDER 37 C.F.R. 1.97-1.99

Enclosed herewith are patents and/or publications for consideration by the Patent and Trademark Office in regard to the invention claimed in the above-described application. In compliance with §1.56, such documents are listed in the enclosed Form PTO-1449.

Applicants request that the Patent and Trademark Office make of record the above-identified documents. Unless otherwise indicated, a full text copy of each document is attached. For documents not in English, an English translation or an equivalent English language patent or publication may be attached. Where a translation is not available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

This Information Disclosure Statement (hereinafter "Statement") is submitted according to the following selected paragraph:

- I. ☒ This Statement is being filed under §1.97(b) within three months of the filing date of the application (other than a CPA), or before the mailing of a first Office action on the merits or before the mailing of a first Office action after the filing of a request for continued examination.
- II. ☐ This Statement is being filed under §1.97(c), with fee, **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account Number 05-0225. A duplicate copy of this Certification is enclosed.

III. ☐ This Statement is being filed under §1.97(c), with a certification under, §1.97(e) **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. The undersigned hereby states that (check one):

☐ each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

IV. ☐ This Statement is being filed under §1.97(d), with fee and certification under §1.97(e), on or after the mailing date of either a final action, a notice of allowance (but prior to payment of the issue fee) or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account No. 05-0225. A duplicate copy of this Certification is enclosed. The undersigned hereby states that (check one):

☐ each item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

Respectfully submitted,



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Enclosures

FORM PTO-1449

US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No.

83958RLO

Customer No. 01333

J1046 U.S. PTO
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Serial No.

To be assigned

If AFTER the later date of the first Office Action or 3 months from filing, use only with Rule 97(E) Certificate or Fee

Applicant:

Serguei Endrikhovski, et al

LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

Filing Date

19 February 2002

Group

not yet assigned

U.S. PATENT DOCUMENTS

Examiner Initial*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,666,215	09 Sep 1997	Fredlund et al.			03 Aug 1995

FOREIGN PATENT DOCUMENTS

Examiner Initial*	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	"FotoFile: A Consumer Multimedia Organization and Retrieval System" by Kuchinsky et al.
	I.A. Essa and A. Pentland, (1995) "Facial Expression Recognition using a Dynamic Model and Motion Energy", In Proceedings of the ICCV 95, Cambridge, MA
	J.J. Lien, T. Kanade, J.F. Cohn and C.C. Li, (2000) "Detection, Tracking, and Classification of Action Units in Facial Expression," Robotics and Autonomous Systems, 31, pp. 131-146, 2000
	Bartlett, M.S., Hager, J.C., Ekman, P., and Sejnowski, T.J., (1999) "Measuring facial expressions by computer image analysis", Psychophysiology, 36, pp. 253-263
	P. Ekman and W. Friesen, (1978) "Facial Action Coding System", Consulting Psychologists Press, Inc., Palo Alto, CA
	"Looking at pictures: Affective, facial, visceral, and behavioral reactions", Psychophysiology, 30, pp. 261-273, 1993, by P.J. Lang, M.K. Greenwald, M.M. Bradley, and A.O. Hamm

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.